

RECAP 2002/2003: OECA Performance Measures: Table of Contents

Organization of RECAP 2000/2001	Area	
Section I	MOA Priority Measures	Our ability to track activities in MOA priority areas is greatly facilitated by fields in ICIS. ICIS requires that all enforcement activities be classified as either MOA priority, regional priority or core.
Section II	Compliance Assistance Measures (Outcomes and Outputs)	These measures include the traditional activity counts for compliance assistance activities such as workshops, outreach materials, trainings, and on-site visits as well as outcome measures. In FY 2003, the regions will be asked to conduct outcome measurement projects and to report the data in RCATs.
Section III	Compliance Incentives (Outcomes and Outputs)	The measures in this section track the outcomes of our audit policy and small business policy.

Section IV	Clean Air Act Measures: HPV measures, compliance monitoring, and enforcement outputs and outcomes.	This section captures our traditional media-specific HPV measures such as the universe of significant violators; addressing of HPVs; T &A as well as measures for duration and recidivism. New measures include those to reflect the new Compliance Monitoring Strategy and the Title V Certification Program.
Section V	Clean Water Act Measures (NPDES and Pretreatment); SNC measures; compliance monitoring; and enforcement outputs and outcomes.	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as the measures for duration and recidivism.
Section VI	Safe Drinking Water Measures; SNC, compliance monitoring; enforcement outputs and outcomes..	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; and T &A. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions. Enforcement Outcomes refer to the number of people served by the drinking water system that will be receiving cleaner drinking water as a result of our enforcement actions.

Section VII	Resource Conservation and Recovery Act Measures: SNC, compliance monitoring; enforcement outputs and outcomes	This section captures our traditional media-specific SNC measures such as the universe of significant violators; addressing of SNCs; T &A as well as measures for duration and recidivism. The compliance monitoring section includes the measures for investigations and citizen complaints as well as federal and state inspection action and coverage counts. The enforcement output measures include measures for # of initiated and concluded federal and state actions.
Section VIII	TSCA Measures; compliance monitoring; enforcement outputs.	
Section IX	FIFRA	
Section X	EPCRA	
Section XI	Multi-Media Measures: compliance monitoring	This section contains compliance monitoring measures.
Section XI	Criminal Measures: enforcement outputs	This section contains criminal enforcement output measures.

Section XII	Federal Facilities Measures: compliance monitoring and enforcement outputs	This section highlights measures for specific compliance assurance activities at federal facilities.
APPENDIX	NPMS Performance Profile FY2002 Annual Performance Goals and Measures Case Conclusion Data Sheet Definitions and Case Conclusion Data Sheet Reporting Form	

Reporting Frequencies:

The approximate dates for mid-year and end-of-year reporting are April 15th and October 15th; however exact dates vary by program system and are included in the mid-year and end-of-year call memo distributed by the Enforcement, Planning and Targeting Division. However, the frequency of reporting is as follows:

Type of Measure	
Enforcement Outcomes (Section IV)	Annual (EOY)
SNC/HPV Measures (Sections V - VIII)	Semi- Annual

Type of Measure	Reporting Frequency
Compliance Monitoring Measures (Sections V - VIII) a. investigations b. citizen compliants c. inspections	Semi-Annual
Enforcement Output Measures (Sections V - VIII)	Semi-Annual
Compliance Assistance Measures (Section II)	Semi-Annual
Compliance Incentives Measures (Section III)	Semi-Annual
MOA Manual Measures	Varies by measure see Section One

Section I: FY 2002/2003 RECAP OECA Performance Measures: MOA PRIORITY MEASURES by Sector and Media Priority

Please Note: Italics are new or revised measures.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
Wet Weather¹ (time period for all Wet Weather inspection measures is based on the water inspection year: July 1 - June 30 th time period of all Wet Weather enforcement action measures is based on the fiscal year: October 1 - September 30 th)			
CSOs: Program Leads: Walter Brodtman, Office of Compliance; Atal Erarp, Office of Regulatory Enforcement			
Environmental Outcome Measures			
MOA/CS O1	<i>Estimated, anticipated pollutant load reduced as a result of implementing the injunctive relief/compliance activities resulting from enforcement actions. (Pollutants: BOD, TSS, total Coliform, other industrial pollutants)</i>	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen: Pollutant/Chemical Waste Stream name; amount; media CSO facilities should be identified as an MOA priority on enforcement action screen. Use attached OECA Methodology for calculating reductions. Also available on the help menu of ICIS
MOA/CS O2	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
Wet Weather² (time period for all Wet Weather inspection measures is based on the water inspection year: July 1 - June 30 th time period of all Wet Weather enforcement action measures is based on the fiscal year: October 1 - September 30 th)			
MOA/CS O3	Compliance status of CSO systems with CSO Nine Minimum Control Policy	Manual (Annual) Statistically-valid compliance rates project.	For 2002 only, Regions should report on their CSO inspections using the manual reporting form at the EOY.
Universe Measures			
MOA/CS O4	# of systems with CSOs nationally and by region	Manual	EPTDD has a list of the CSO universe. Regions will be asked to update this list, if necessary, on an annual basis.
MOA/CS O5	# of CSOs with individual permits	PCS	
Compliance Assurance Output Measures			
MOA/CS O6	Number of CSO inspections	Manual (semi-annual)	We are collecting Wet Weather inspection information manually for end of year 2002. We are exploring guidance for how these inspections can be entered into and retrieved from PCS for FY 2003 so they can be recognized as CSI or CEI inspections with the appropriate wet weather inspection components.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
Compliance Assurance Output Measures			
MOA/C SO7	Number of CSO enforcement actions initiated and concluded	ICIS	Activity Add Enforcement Action Screen ; select MOA priority: CSO.
MOA/C SO8	Number of municipalities reached through compliance assistance for CSO policy education	RCATS (Semi-annual)	Select Statute CWA, Wet Weather, CSO
SSOs Program Leads: Kevin Bell, ORE, Walter Brodtman, Office of Compliance			
MOASS O1	<i>Estimated, anticipated annual pollutant load reduced as a result of implementing the injunctive relief/compliance activities resulting from enforcement actions. (Pollutants (in lbs): BOD, TSS, other industrial pollutants)</i>	ICIS	<p><i>Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen: Pollutant/Chemical Waste Stream name; amount; media SSO facilities should be identified as an MOA priority on enforcement action screen.</i></p> <p><i>Use attached OECA Methodology for calculating reductions. Also available on help menu of ICIS</i></p>

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOASSO 2	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	<i>Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen</i>
Compliance Assurance Output Measures			
MOASS O3	Number of SSO Inspections	Manual	We are collecting Wet Weather inspection information manually for end of year 2002. We are exploring guidance for how these inspections can be entered into and retrieved from PCS for FY 2003 so they can be recognized as CSI or CEI inspections with the appropriate wet weather inspection components.
MOASS O4	Number of SSO enforcement actions initiated and concluded	ICIS	Activity Add Enforcement Action Screen: select MOA priority: SSO.
MOASS O5	Number of municipalities reached through compliance assistance for SSO policy education	RCATS (Semi-annual)	Select Statute CWA, Wet Weather, SSO.
Stormwater Program Leads: Walter Brodtman, Office of Compliance; Lauren Kabler, Office of Regulatory Enforcement			
MOASW 1	<i>Estimated, anticipated annual pollutant load reduced as a result of implementing the injunctive relief/compliance activities resulting from enforcement actions. (Pollutants (in lbs): BOD, TSS, other industrial pollutants)</i>	ICIS	<i>Methodology for junkyards to be developed in FY 2003</i>

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOASW 2	Type of injunctive relief/compliance activities resulting from Stormwater enforcement actions. Region should check one or more of the following on the CCDS: (a) develop SWPPPs (b) implement additional BMPs (c) conduct company-wide audits (d) implement an EMS (e) apply for permit (f) other—specify	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Select the following physical (p) or non-physical (np) complying action types and select MOA priority: stormwater (a) planning (np) (b) best management practices (c) AUD (np) (d) EMS (np) (e) permit application (np) (f) OTH (please describe)
MOASW 3	Value of injunctive relief required.	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen..
Compliance Assurance Output Measures			
MOASW 4	Number of storm water inspections:	Manual.	We are collecting Wet Weather inspection information manually for end of year 2002. We are exploring guidance for how these inspections can be entered into and retrieved from PCS for FY 2003 so they can be recognized as CSI or CEI inspections with the appropriate wet weather inspection components.
MOA SW5	Number of initiated and concluded civil storm water enforcement actions.	ICIS	Activity Add Enforcement Action Screen. Select MOA priority: Stormwater.
MOASW 6	Number of Stormwater sources reached through compliance assistance.	RCATS (Semi-annual)	Select Statute CWA, Wet Weather, Stormwater

Measure Code	Measure	Data Source	Reporting/Calculation Directions
Universe Measures			
MOASW 7	<p>Number of facilities with:</p> <p>1) Individual permits with storm water requirements</p> <p>2) General storm water permits (sorted by a) industrial b) construction</p> <p>3) MS4's)</p>	<p>PCS (Annual).</p> <p>1) Individual Stormwater permits will be selected using PTYP = S, and PTYP = 'blank' and outfall type (OUTT) = R (Stormwater).</p> <p>2) Manual & EPA Stormwater Notice of Intent (NOI) database.</p>	<p>1) The data for individual permits is required to be reported in PCS for both EPA and states. Neither ORE nor OC have asked for this data in FY 2000</p> <p>2) General stormwater permit information is not in PCS for all Regions. For Regions that it is, they can use PCS to pull the data to assist in filling out the manual form.</p>
CAFOs Program Leads: Al Havinga, Office of Compliance; Judy Kahl, Office of Regulatory Enforcement			
MOACA FOI	<p>Pollutant load (lbs of nitrogen/phosphorous, fecal coliform-contaminated run-off,) reduced as a result of implementing the injunctive relief/compliance activities resulting from enforcement action.</p>	ICIS	<p>Activity Add Enforcement Action</p> <p>Conclusion: Injunctive</p> <p>Relief/Compliance Activities Screen:</p> <p>Pollutant/Chemical Waste Stream name; amount; media</p> <p>CAFO enforcement actions should be identified as an MOA priority on enforcement action screen.</p> <p>Use OECA Methodology for calculating reductions. See help menu of ICIS and/or <u>CCDS Training Booklet</u>.</p>

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOACA FO2	<p>Number of facilities that commit to undertake injunctive relief/compliance activities (for each CCDS category) as a result of enforcement actions against CAFOs.</p> <p>Types of injunctive relief include:(a) apply for NPDES permit</p> <p>(b) improve land application practices (develop nutrient management plans)</p> <p>(c) improve operation and/or design of manure collection/treatment system</p> <p>(d) conduct company-wide audits</p> <p>(e) implement an EMS</p> <p>(f) other—specify</p>	ICIS	<p>Activity Add Enforcement Action</p> <p>Conclusion: Injunctive Relief/Compliance Activities Screen.</p> <p>Select following physical (p) and non-physical (np) complying action types..</p> <p>(a) permit application (np)</p> <p>(b) best management plans (p)</p> <p>(c) emissions discharge change (p)</p> <p>(d) auditing (np)</p> <p>(e) environmental management system (np)</p> <p>(f) other-must describe (np)</p>
MOA/CA FO3	Value of injunctive relief required by the enforcement action.	ICIS	Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.
CAFOs Program Leads: Al Havinga, Office of Compliance; Judy Kahl, Office of Regulatory Enforcement			
MOACA FO4	<p>Number of CAFO:</p> <p>a. EPA inspections</p> <p>b. State inspections</p>	<p>a. Manual</p> <p>b. Manual</p>	We are collecting Wet Weather inspection information manually for end of year 2002. We are exploring guidance for how these inspections can be entered into and retrieved from PCS for FY 2003 so they can be recognized as CSI or CEI inspections with the appropriate wet weather inspection components.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOACA FO5	No. of CAFO entities reached through compliance assistance	RCATS (Semi-annual)	Select Sector/CAFO
Universe Measures			
MOACA FO6	Number of CAFOs by state that are: 1) permitted a) # covered by general permit; b) # covered by individual permit 2) # of CAFOs that should have had a permit	PCS	
Petroleum Refining Program Leads: Dan Chadwick and Jim Jackson			
MOAPR 1	Pollutant load to be reduced as a result of commitments in enforcement actions.	ICIS	Activity Add Enforcement Action Conclusion Screen: Select MOA priority (1) petroleum refining: PSD/NSR or LDAR or benzene waste or flaring/NSPS or other.
Petroleum Refining Program Leads: Dan Chadwick and Jim Jackson			
MOAPR 2	Number of facilities that commit to undertake complying actions.	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOA/PR O3	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	<i>Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</i>
Compliance Assurance Output Measures			
MOAPR 4	Number of investigations at refineries for suspected NSR/PSD violations; LDAR violations; Benzene Waste-NESHAPS and RCRA violations; Refinery Fuel Gas	Manual (Semi-Annual)/ICIS?	Report as part of the mid-year and EOY reporting cycle on the overall NPMS Investigations Manual Reporting Form.
MOAPR 5	# of federal inspections	AFS/PCS and manual for RCRA	
Petroleum Refining Program Leads: Dan Chadwick and Jim Jackson			
MOAPR 6	# of federal enforcement cases initiated and concluded	ICIS	Activity Add Enforcement Action Screen and Add Enforcement Action Conclusion Screen. Based on SIC code.
SDWA Microbial Program Leads: Andy Hudock and Ken Harmon			
MOASD W1	<i># of people served by drinking water system that will receive safer drinking water as a result of enforcement actions</i>	ICIS	<i>Activity Add Enforcement Action Screen: Select pollutant. Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Report pollutant name and amount in terms of people served by the system.</i>

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOASD W2	Number of systems that commit to undertake the following CCDS injunctive relief/compliance activities as a result of enforcement for violation of TCR and SWTR requirements: testing, monitoring/sampling, record keeping, and reporting	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Select the following physical and non-physical compliance actions: a) testing b) monitoring/sampling c) record keeping d) reporting
MOADS W3	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	<i>Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</i>
MOASD W4	Compliance status of 1) SWTR systems; and 2) SWTR systems with groundwater under influence of surface water	SDWIS (Annual) 1) SW; SWP 2) GU; GUP For both SNC Termination Status Codes: SE, SI, SU, SV, SW, SD, SX	Status should be reported in SDWIS.
MOASD M5	Number and of systems receiving compliance assistance	RCATS (Annual)	
SDWA Microbial Program Leads: Andy Hudock and Ken Harmon			
MOASD M4	Percent TCR and SWTR SNCs addressed (SDWA: Microbial rules)	SDWIS (Annual) Field: Rule Field: Formal Appropriate Action (EFK, EFQ, EF9, EOX, EFV, EF&, EFL, EF/, SFL, SFO, SFK, SFQ, SF9, SOX, SFV, SF&)	Report addressing actions in SDWIS.
MOASD M5	# of sanitary surveys conducted	Manual	

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOASD M6	# of enforcement actions initiated	ICIS	Activity Add Enforcement Action Screen.
MOASD M7	# of enforcement actions concluded	ICIS	Activity Add Enforcement Action Conclusion Screen.
MOASD M8	# of systems reached through compliance assistance	RCATS	
RCRA Permit Evaders Program Lead: Desi Crouther			
MOAPE 1	Pollutant load to be reduced as a result of enforcement	ICIS	Activity Add Enforcement Action: Select pollutant Activity Add Enforcement Action Conclusion: / Injunctive Relief/Compliance Activities Screen. Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet .
MOA/PE 2	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	<i>Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</i>
RCRA Permit Evaders Program Lead: Desi Crouther			
MOAPE 3	Number of facilities that commit to undertake any CCDS injunctive relief/compliance activities as a result of enforcement for RCRA violations.	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOAPE 4	Compliance rate of brass and bronze foundries	Manual from statistically-valid compliance rates project.	Random inspections will be conducted in FY2003 and FY 2004, manual reporting forms should be sent to EPTDD as part of EOY reporting.
Compliance Assurance Output Measures			
MOAPE 5	Number of investigations conducted	Manual	Report as part of the mid-year and EOY reporting cycle on the overall NPMS Investigations Manual Reporting Form.
MOAPE 6	# of federal inspections conducted of a) waste-derived fertilizer; b) bevill; c) foundries; d) other	Manua	Report mid-year and EOY as part of manual inspections reporting
MOAPE 7	Number of federal enforcement actions initiated and concluded	ICIS	Activity Add Enforcement Action Screen and Enforcement Action Conclusion Screen.
MOAPE 8	Number of facilities reached through compliance assistance.	RCATS	
CAA - AIR TOXICS and NSR/PSD Program Leads: Scott Throwe and Mario Jorquera			
MOACA A1	Air toxics pollutant load to be reduced as a result of commitments in enforcement actions against violations of MACT standards	ICIS	Activity Add Enforcement Action Screen: Select pollutant Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen. Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet .

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOACA A2	Total pollutant load to be reduced for criteria pollutants (NOx, SO2, and PM) for NSR/PSD commitments in enforcement actions	ICIS	Activity Add Enforcement Action Screen: Select pollutant. Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities. Use OECA Methodology for calculating reductions. See help menu of ICIS and/or CCDS Training Booklet .
MOACA A3	Number of coal-fired power plants that commit to undertake complying actions.	ICIS	Activity Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.
MOACA A4	Number facilities committing to install controls as the result of commitments in NSR/PSD enforcement actions	ICIS	Activity Add Enforcement Action Screen: Select pollutant. Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.
MOACA A5	<i>Value of injunctive relief required by the enforcement action.</i>	ICIS	<i>Add Enforcement Action Conclusion: Injunctive Relief/Compliance Activities Screen.</i>
CAA - AIR TOXICS and NSR/PSD Program Leads: Scott Throwe and Mario Jorquera			
MOACA A5	<i>Compliance rate of ethylene oxide MACT facilities</i>	<i>Manual from statistically-valid compliance rates project.</i>	<i>Random inspections will be conducted in FY2002, manual reporting forms should be sent to EPTDD as part of EOY reporting.</i>
Compliance Assurance Output Measures			
MOACA A6	Number of investigations conducted for suspected NSR/PSD violations	Manual (Semi-annual)	Report as part of the mid-year and EOY reporting cycle on the overall NPMS Investigations Manual Reporting Form.

Measure Code	Measure	Data Source	Reporting/Calculation Directions
MOACA A7	Number of investigations conducted at coal-fired power plants	Manual (Semi-annual)	Report as part of the mid-year and EOY reporting cycle on the overall NPMS Investigations Manual Reporting Form.
MOACA 8	Number of inspections conducted at MACT sources: both major and minor	AFS (Semi-annual)	Regions are to report both major and minor MACT inspections in AFS.
MOACA A9	Number of NSR/PSD inspections	AFS (Semi-annual)	
MOACA A10	Number of enforcement actions initiated and concluded;	ICIS (Semi-annual)	Activity Add Enforcement Action Screen and Enforcement Action Conclusion Screen.
MOACA A11	Number of facilities reached through compliance assistance.	RCATS	